

BEFORE THE INVESTOR PROTECTION DIRECTOR OCT 14 2016  
OF THE STATE OF DELAWARE

IN THE MATTER OF:

GABRIEL BLOCK,

Respondent.

)

)

) IPU Case No. 11-2-4

)

)

**CONSENT ORDER**

WHEREAS, the Delaware Investor Protection Unit (“IPU”) filed an administrative complaint (the “Complaint”) against Respondent Gabriel Block (“Respondent”) on August 28, 2015 pursuant to the Delaware Securities Act, 6 *Del. C.* § 73-101, *et seq.* (the “Act”) alleging six counts arising from his service of a Delaware client’s securities accounts: (1) Securities Fraud - Churning; (2) Dishonest or Unethical Practice – Excessive Trading; (3) Securities Fraud – Unsuitable Recommendations; (4) Dishonest or Unethical Practice – Unsuitable Recommendations; (5) Dishonest or Unethical Practice – Narcotics Use; and (6) Dishonest or Unethical Practice – Failure to Address Mental Instability Notification;

WHEREAS, pursuant to 6 *Del. C.* § 73-501 and § 225A of the Rules and Regulations Pursuant to the Delaware Securities Act (the “Rules”), Deputy Attorney General Jason W. Staib has been designated to act as the hearing officer in this matter;

WHEREAS, on October 2, 2015, Respondent filed an Answer denying that he violated any provision of the Delaware Securities Act;

WHEREAS, Respondent has not conducted securities or advisory business in Delaware since March 2014, does not have any clients in Delaware, is currently not registered in any capacity, and Respondent agrees to voluntarily relinquish his right to apply for future registration as a broker-dealer agent or investment advisor representative in the State; and

WHEREAS, Respondent voluntarily waives his right to an administrative hearing on the allegations in the Complaint and any appeal rights that would have arisen from such a hearing in accordance with the Delaware Securities Act;

IT IS HEREBY ORDERED, pursuant to the consent of the IPU and Respondent, as follows:

1. Respondent's registrations as a broker-dealer agent and investment adviser representative in the State of Delaware are suspended for a period of three (3) years beginning March 13, 2014.
2. Respondent agrees to cease and desist any and all violations of the Delaware Securities Act.
3. The IPU enters into this Order in reliance on Respondent's agreement to voluntarily relinquish his right to apply for future registration as a broker-dealer agent or investment advisor representative in the State.
4. Respondent acknowledges that any failure to fully comply with the provisions of this Order constitutes a sufficient independent legal ground upon which the IPU may initiate further administrative proceedings pursuant to the provisions of the Delaware Securities Act. The IPU maintains jurisdiction over Respondent and this proceeding for the purposes of monitoring continued compliance with the provisions herein.

[signature page to follow]



/s/  
William E. Green, Jr. (#4864)  
Deputy Attorney General  
Delaware Investor Protection Unit  
Department of Justice  
820 North French Street  
Wilmington, DE 19801  
(302) 577-8356

/s/

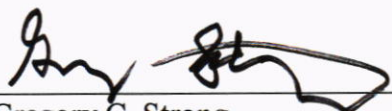
Paul A. Lieberman  
EATON & VAN WINKLE, LLP  
3 Park Avenue, 16<sup>th</sup> Floor  
New York, NY 10016  
(212) 779-9910  
*Attorneys for Respondent Gabriel Block*

/s/

Frederick Rosner (#3995)  
THE ROSNER LAW GROUP LLC  
824 Market Street, Suite 810  
Wilmington, Delaware 19801  
(302) 777-1111  
*Attorneys for Respondent Gabriel Block*

SO ORDERED this 14<sup>th</sup> day of October 2016.


**BY ORDER OF THE DELAWARE DEPARTMENT  
OF JUSTICE, INVESTOR PROTECTION UNIT**

  
\_\_\_\_\_  
Gregory C. Strong  
Investor Protection Director

/s/

William E. Green, Jr. (#4864)  
Deputy Attorney General  
Delaware Investor Protection Unit  
Department of Justice  
820 North French Street  
Wilmington, DE 19801  
(302) 577-8356

/s/

  
Paul A. Lieberman (PHU)  
EATON & VAN WINKLE, LLP  
3 Park Avenue, 16<sup>th</sup> Floor  
New York, NY 10016  
(212) 779-9910  
*Attorneys for Respondent Gabriel Block*

/s/

Frederick Rosner (#3995)  
THE ROSNER LAW GROUP LLC  
824 Market Street, Suite 810  
Wilmington, Delaware 19801  
(302) 777-1111  
*Attorneys for Respondent Gabriel Block*

SO ORDERED this \_\_\_\_ day of \_\_\_\_\_ 2016

**BY ORDER OF THE DELAWARE DEPARTMENT  
OF JUSTICE, INVESTOR PROTECTION UNIT**

\_\_\_\_\_  
Gregory C. Strong  
Investor Protection Director




/s/

William E. Green, Jr. (#4864)  
Deputy Attorney General  
Delaware Investor Protection Unit  
Department of Justice  
820 North French Street  
Wilmington, DE 19801  
(302) 577-8356

/s/

Paul A. Lieberman  
EATON & VAN WINKLE, LLP  
3 Park Avenue, 16<sup>th</sup> Floor  
New York, NY 10016  
(212) 779-9910  
*Attorneys for Respondent Gabriel Block*

/s/

  
Frederick Rosner (#3995)  
THE ROSNER LAW GROUP LLC  
824 Market Street, Suite 810  
Wilmington, Delaware 19801  
(302) 777-1111  
*Attorneys for Respondent Gabriel Block*

SO ORDERED this \_\_\_\_ day of \_\_\_\_\_ 2016

**BY ORDER OF THE DELAWARE DEPARTMENT  
OF JUSTICE, INVESTOR PROTECTION UNIT**

\_\_\_\_\_  
Gregory C. Strong  
Investor Protection Director


**CONSENT TO ENTRY OF CONSENT ORDER BY GABRIEL BLOCK**

Gabriel Block hereby acknowledges that he has been served with a copy of this Consent Order, has read the forgoing Consent Order, is aware of his right to a hearing and appeal in this matter, and has waived same.

Gabriel Block admits the jurisdiction of the Delaware Department of Justice Investor Protection Unit and consents to the entry of this Order.

Gabriel Block states that no promise of any kind or nature was made to him to induce him to enter into this Order and that he has entered into this Order voluntarily.

Dated this 12 day of October 2016.

  
\_\_\_\_\_  
Gabriel Block